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Conformity assessment — Requirements for bodies providing audit and certification of management systems —

Part 12:
Competence requirements for auditing and certification of collaborative business relationship management systems

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Partie 12: Exigences de compétence pour l'audit et la certification des systèmes de management collaboratif des relations d'affaires

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT), see www.iso.org/iso/foreword.html.

This document was prepared by the ISO Committee on Conformity Assessment (CASCO).

A list of all parts in the ISO/IEC 17021 series can be found on the ISO website.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at www.iso.org/members.html.

Introduction

ISO 44001 sets out a coherent framework for collaborative business relationship management. Personnel certifying the management system for collaborative business relationship (CBRMS) need to have generic competencies described in ISO/IEC 17021-1, as well as the specific management system competencies described in this document.

This document complements the requirements in ISO/IEC 17021-1 and the guiding principles in ISO/IEC 17021-1:2015, Clause 4. It clarifies the requirements for the competence of personnel involved in the certification process set out in ISO/IEC 17021-1:2015, Annex A.

Certification bodies have a responsibility to interested parties, including their clients and the customers of the organizations whose management systems are certified, to ensure that only those auditors who demonstrate the relevant competence may conduct collaborative business relationship management system (CBRMS) audits.

Certification bodies identify the specific audit team competence necessary for the scope of each CBRMS audit. When developing the competence criteria, certification bodies recognize the importance of the number and maturity of relationships, together with the complexity of the arrangements and the iterative nature of the requirements throughout the lifecycle of the relationships.

This document is applicable for auditing and certification of a CBRMS based on ISO 44001. The aim of this document is to:

— establish a consistent approach to certification body assessments and certifications to ISO 44001;

— provide common perspective to the rigour of assessment activities to ensure assessed management systems support the themes promoted by ISO 44001;

— identify the collaborative ethos which underpins the requirements of ISO 44001, thereby providing major client organizations and industry at large with the opportunity to recognize a validated common approach and the integrity of the certification process.

In this document, the following verbal forms are used:

— "shall" indicates a requirement;

— "should" indicates a recommendation;

— "may" indicates a permission;

— "can" indicates a possibility or a capability.

Further details can be found in the ISO/IEC Directives, Part 2.

For the purposes of research, users are encouraged to share their views on this document and their priorities for changes to future editions. Click on the link below to take part in the online survey:

https://fr.surveymonkey.com/r/FCVNG5Z

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Conformity assessment — Requirements for bodies providing audit and certification of management systems —

Part 12:
Competence requirements for auditing and certification of collaborative business relationship management systems

1 Scope

This document specifies additional competence requirements for personnel involved in the audit and certification process of collaborative business relationship management systems (CBRMS) and complements the existing requirements of ISO/IEC 17021-1.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 17021-1:2015, *Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements*

ISO/TR 44000, *Principles for successful collaborative business relationship management*

ISO 44001:2017, *Collaborative business relationship management systems — Requirements and framework*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 44001 and ISO/IEC 17021-1 apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

— ISO Online browsing platform: available at https://www.iso.org/obp

— IEC Electropedia: available at http://www.electropedia.org/

4 Generic competence requirements

The certification body shall define the competence requirements for each certification function as referenced in ISO/IEC 17021-1:2015, Table A.1. When defining these competence requirements, the certification body shall take into account all the requirements specified in ISO/IEC 17021-1, as well as those specified in Clauses 5, 6 and 7 of this document.

NOTE 1   Annex A provides an overview of the competence requirements for personnel involved in specific certification functions.

NOTE 2   ISO 19011 provides information on the principles of auditing.

5 Competence requirements for CBRMS auditors

5.1 General

The audit team involved in CBRMS auditing shall have the generic competence described in ISO/IEC 17021-1 and the CBRMS knowledge described in 5.2 to 5.10.

NOTE 1   It is not necessary for each auditor in the audit team to have the same competence, however the collective competence of the audit team needs to be sufficient to achieve the audit objectives.

NOTE 2   An audit team can consist of one or more persons.

5.2 Collaborative business relationship management premise, terminology, principles, practices and techniques

The audit team involved in CBRMS auditing shall have knowledge and understanding of:

a)   collaborative business relationship (CBR) management and the interrelated nature of the principles as outlined in ISO/TR 44000;

b)   the nature and drivers of collaborative relationships (see ISO 44001:2017, Annex F) and the way they are implemented and managed;

c)   the complexity and interdependency of relationships; and

d)   the CBR management terminology.

5.3 Visions and values

The audit team involved in CBRMS auditing shall have knowledge and understanding of the impact of the visions and values of the organizations on the effectiveness of the collaboration.

5.4 Collaborative leadership

The audit team involved in CBRMS auditing shall have knowledge and understanding of principles used for effective collaborative leadership.

5.5 Collaborative behaviour

The audit team involved in CBRMS auditing shall have knowledge and understanding of skills and processes that facilitate the collaborative behaviour.

5.6 Trust and commitment

The audit team involved in CBRMS auditing shall have knowledge and understanding of the influence of trust and commitment on collaborative business relationships.

5.7 Information and knowledge sharing

The audit team involved in CBRMS auditing shall have knowledge and understanding of the effects of information and knowledge management on collaborative business relationships.

5.8 Risk management

The audit team involved in CBRMS auditing shall have knowledge and understanding of the risk management within the context of the lifecycle of collaborative business relationships.

5.9 Exit strategy

The audit team involved in CBRMS auditing shall have knowledge to understand the impact of the exit strategy on organizations and throughout the lifecycle of the collaborative business relationships.

5.10 Contractual arrangements

The audit team involved in CBRMS auditing shall have knowledge of collaborative arrangements and related contractual arrangements that can impact collaboration.

6 Competence requirements of personnel reviewing audit reports and making certification decisions

6.1 General

Personnel reviewing audit reports and making certification decisions shall have the generic competence described in ISO/IEC 17021-1 and knowledge and understanding described in 6.2 to 6.7.

6.2 Collaborative business relationship management premise, terminology, principles, practices and techniques

Personnel reviewing audit reports and making certification decisions shall have knowledge and understanding of:

a) the CBR management and the interrelated nature of the principles as outlined in ISO/TR 44000;

b) the CBR management terminology.

6.3 Collaborative behaviour

Personnel reviewing audit reports and making certification decisions shall have knowledge of skills and processes that facilitate the collaborative behaviour.

6.4 Information and knowledge sharing

Personnel reviewing audit reports and making certification decisions shall have knowledge of the effects of information and knowledge management on collaborative business relationships.

6.5 Risk management

Personnel reviewing audit reports and making certification decisions shall have knowledge of the risk management within the context of the lifecycle of collaborative business relationships.

6.6 Exit strategy

Personnel reviewing audit reports and making certification decisions shall have knowledge to understand the impact of the exit strategy on organizations and throughout the lifecycle of the collaborative business relationships.

6.7 Contractual arrangements

Personnel reviewing audit reports and making certification decisions shall have knowledge of collaborative arrangements and related contractual arrangements that can impact collaboration.